



CASE 4-30443B/D1

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Hesna J. Pfeiffer
Type or print name

Hesna J. Pfeiffer
Signature

December 4, 2001
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF
FARRIES ET AL.

APPLICATION NO: 09/875,519

FILED: JUNE 6, 2001

FOR: DOWN-REGULATED RESISTANT C3 CONVERTASE

Assistant Commissioner for Patents
Washington, DC 20231

RESPONSE TO NOTICE TO COMPLY
AND SUBMISSION OF SEQUENCE LISTING
INCLUDING STATEMENT OF VERIFICATION

Sir:

The Notice to Comply dated October 18, 2001 (a copy of which is enclosed) has a shortened statutory time set to expire on December 18, 2001.

In response, applicants now submit a nucleotide and/or amino acid sequence submission, including a computer readable copy, a paper copy and a Statement Verifying Identity of Above Copies.

Please amend the above-identified application as follows:

IN THE SPECIFICATION:

Please insert the appended "Sequence Listing," comprising pages numbered 71-98, into the specification following page 70.

In response to the Notice to Comply dated October 18, 2001 and pursuant to 37 CFR §1.821(e) and (g), applicants are appending hereto a Sequence Listing for the above-identified application in computer readable form, together with a paper copy of the Sequence Listing. Please

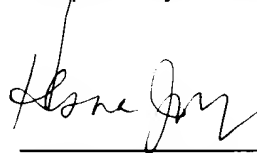
note that both the paper copy and the computer readable copies of the sequences refer to the parent application SN, USSN 09/142,334, filed September 4, 1998. The section relating to sequence 16 has been corrected as requested. Applicants state that the paper copy and the computer readable copies of the sequences in the instant application USSN 09/875,519 are identical. Accordingly, the submission of the paper and computer readable copies of the sequences are in compliance with the requirement in the notice to comply.

It is understood that the PTO will make the necessary change in application number and filing date for the instant application. A copy of the Copy to Comply Paper is enclosed.

As required by 37 CFR §1.821 (f) and (g), applicants' undersigned attorney affirms that the Paper Copy and the Computer Readable Form submitted with this paper are the same.

The Commissioner is hereby authorized to charge any fees under 37 CFR §1.17 which may be required, or credit any overpayment, to Account No. 19-0134 in the name of Novartis Corporation.

Respectfully submitted,



Hesna J. Pfeiffer
Attorney for Applicants
Reg. No. 22,640

Novartis Corporation
Patent and Trademark Dept.
564 Morris Avenue
Summit, NJ 07901-1027
(908) 522-6940

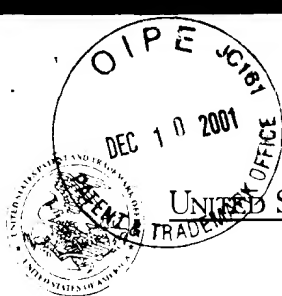
Encs: Sequence Listing (to be inserted as pages 71-98 of the specification)

Disc with sequences in computer readable form

Copy of Notice to Comply

30443_2ndresponse to missing parts
Date: December 4, 2001

0300



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/875,519	06/06/2001	Timothy C. Farries	4-30443B/D1

CONFIRMATION NO. 6920

FORMALITIES LETTER



OC000000006901037

001095
THOMAS HOXIE
NOVARTIS CORPORATION
PATENT AND TRADEMARK DEPT
564 MORRIS AVENUE
SUMMIT, NJ 079011027

Date Mailed: 10/18/2001

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE